



Chapter 2 EERE Business Model and Management System

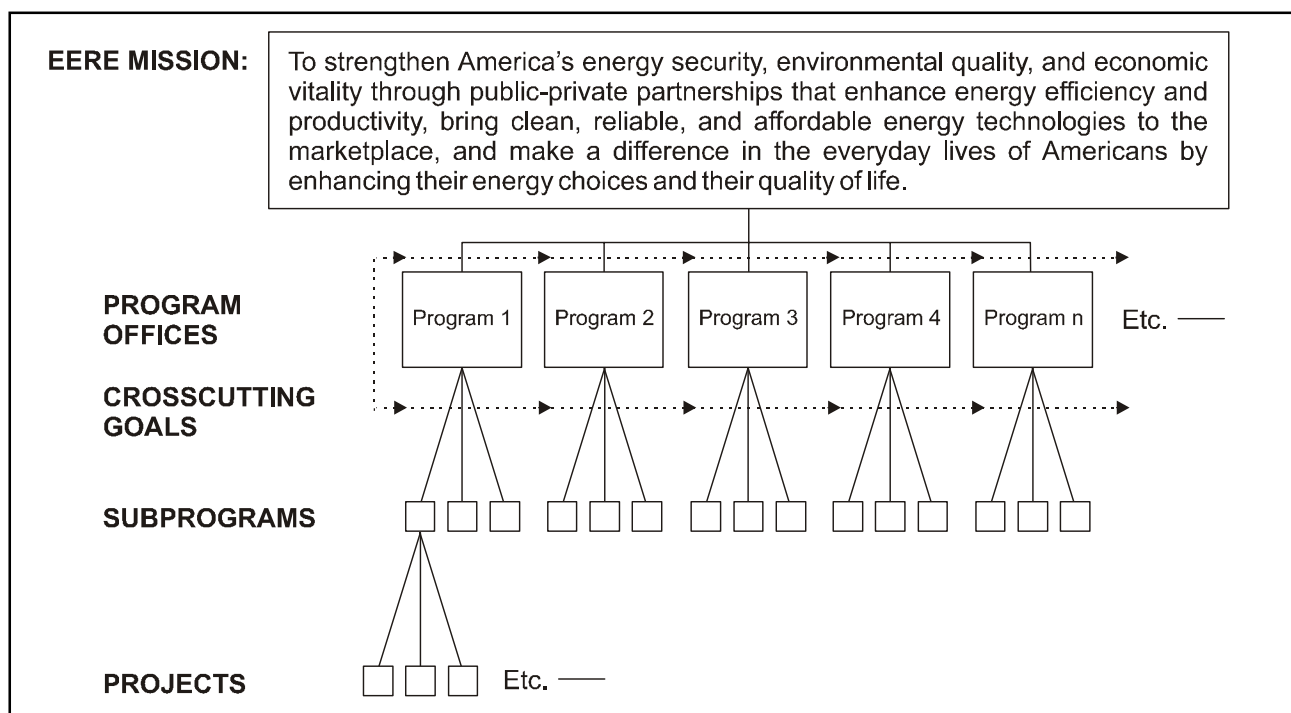


EERE accomplishes its mission through individual programs and collective efforts across programs.

2.1 EERE Programs as Key Mission Elements

To accomplish its mission, EERE, like any organization, must divide its work into manageable “segments.” All of the work done in EERE can be represented by a work breakdown structure, a pyramid where the top level is the EERE mission and the succeeding lower levels are the EERE Programs and Projects respectively. Most EERE Programs are further subdivided into subprograms. EERE must ensure that all of the work needed to accomplish its mission has been assigned to, and is being pursued by, individual programs, or is being addressed collectively across programs as “crosscut” goals and objectives. If all programs are successful in meeting their goals and objectives (including their expected contribution to crosscut goals) then, by definition, EERE should be successful in accomplishing its mission.

Below the program level is the project level. Projects may include discrete research and development activities, technology demonstrations or deployment initiatives. The distinctions between programs and projects are shown in detail in Chapter 2.5.



Program portfolios enhance EERE's chances for success.

Currently, EERE has 11 programs. Each program has a performance risk, which means there is some likelihood that the program may not be able to carry out its plan completely, and fall short of its goals. However, it is still possible that other programs may exceed their goals, resulting in EERE still accomplishing its mission, hence the term “pooling the (performance) risk” at the next higher level. This is comparable to a stock portfolio or mutual fund where the performance of some stocks falls short, but others yield more than expected, so the overall fund or portfolio achieves the desired return.

EERE management officials must keep this pooling of risk concept in mind when establishing programs and providing them guidance and resources.

Program managers must consider both their program and EERE's mission.

Program managers must understand that their program has to fit into the larger portfolio. The program may not be as broadly chartered or generously funded as desired because the program is sharing scarce resources with other programs in the interest of achieving a proper balance. Program management teams should always keep the end in sight (that is, the EERE mission), when implementing their programs. This requires attention to crosscutting goals, sometimes at the expense of higher risk to program goals.

EERE's program portfolio is dynamic, requiring periodic review and adjustment.

EERE's program structure needs to be carefully reviewed and adjusted over time in response to internal performance and external scientific/technological, political and economic factors. This causes turbulence that program management teams must continually address.

EERE management has a continuing responsibility to provide adequate resources for programs. For example, a reduction in a program's funding generally requires a commensurate adjustment to its goals so that it remains viable.

2.2 Distinctions Between EERE Programs and Projects

Programs and Projects are defined (and managed) separately.

EERE Programs typically involve a range of activities including Technology Research and Development, Demonstration, and Deployment. These activities are generally carried out as a set or series of discrete projects. EERE's policy is to assign and manage (plan, fund, implement and track) programs and projects differently. Programs typically are managed in Headquarters, and projects in the field (see Program and Project Management Responsibilities in Section 2.4 and 2.5).

An EERE Program Management Focus Group developed the following definitions:

Programs are ongoing and typically managed by Headquarters Program Offices reporting to the DAS for Technology Development.

- **Program:** An organized set of ongoing activities directed toward a common purpose, or goal undertaken in support of an assigned mission area.

A program is generally the highest level of work breakdown structure within a specific mission area. It is characterized by a strategy for accomplishing a set of definitive goals and objective(s) aligned to and in support of the mission goals. Programs are typically subdivided into projects which are managed closely by using project management tools and techniques. Programs in EERE are characterized as either core programs and subprograms or programs in the exploration or initiation stage, or that crosscut and contribute to other programs. Common functions, such as planning, research, and international cooperation, typically are not programs. Viewed as an integrated whole, a program is the aggregate of its subprograms (which have the same characteristics of programs but represent one additional level of subdivision) and its projects.

Projects have a defined beginning and end, and are typically managed in the field.

- **Project:** An executable element of a program, normally with its own discrete beginning, end and specified outcome(s).

A project could be an effort to establish additional capability to support one or more programs (e.g., a construction project), or it could be an executable increment or stepping stone of program activity (e.g., FY2004 heavy vehicle fuel system research and technology advancement) aimed at achieving specific objectives in the specified period. A project, usually consisting of one or more tasks, is individually planned and approved and is closely managed and controlled.

2.3 EERE Programs and Subprograms

EERE maintains a dynamic portfolio of programs and subprograms. The following represents the current set. Additionally EERE Program offices maintain ongoing activities, which are further subdivisions of subprograms or are emerging programs in the exploration or initial stages.

Program Office	Program	Subprogram	Activity
Office of Biomass	Biomass and Biorefinery Systems	Advanced Biomass Technology R&D	Thermochemical Conversion R&D – Biopower <ul style="list-style-type: none"> • Biopower/Thermochemical Conversion • Biopower/Systems/Gasification R&D Bioconversion R&D - Biofuels Thermochemical Production Integration
		Systems Integration and Production	Small Modular Biopower Feedstock Infrastructure <ul style="list-style-type: none"> • Biopower/Feedstock Production • Biofuel/Feedstock Production Bioconversion Production Integration <ul style="list-style-type: none"> • Cellulose-to-Ethanol Production • Renewable Diesel Alternatives • Ethanol/Integrated Biorefinery Process Crosscutting Biomass R&D <ul style="list-style-type: none"> • Biopower/Crosscutting R&D • Biofuels/Crosscutting R&D • Regional Biomass
Office of Building Technologies	Building Technologies	Zero Energy Building Design	
		Residential Buildings	Research & Development Residential Building Energy Codes
		Commercial Buildings Integration	Research and Development Commercial Building Energy Codes

Program Office	Program	Subprogram	Activity
		Emerging Technologies	Lighting Research and Development Space Conditioning and Refrigeration R&D Appliances and Emerging Technology R&D Building Envelope R&D <ul style="list-style-type: none"> • Competitive Solicitations • Thermal Insulation and Building Materials • Windows Technology
		Analysis Tools and Design Strategies	
		Road Maps	
		Competitive R&D	
		Lighting and Appliance Standards	
		Energy Efficiency Science Initiative	
		Technical/Program Management Support	
Office of Distributed Energy & Electricity Reliability	Electric Reliability	High Temperature Superconducting R&D	Superconductivity Partnerships Second Generation Wire Development Strategic Research
		Transmission Reliability R&D	
		Distribution and Interconnection R&D	
		Energy Storage R&D	

Program Office	Program	Subprogram	Activity
		Renewable Energy Production Incentive	
		Electricity Restructuring (Incl Competitive Solicitations)	
	Distributed Energy Resources	Technology Development	Industrial Gas Turbines Microturbines Reciprocating Engines Technology-Based Advanced Material and Sensors Fuel Flexibility Thermal Activated Technology
		End-Use System Integration	Energy Systems Application Integration Cooling, Heating & Power Integration
		Technical/Program Management Support	
Office of Federal Energy Management Programs	Departmental Energy Management Program	Energy Management Project Support	
		Energy Management Model Program Development	
	Federal Energy Management Program	Project Financing	
		Technical Guidance and Assistance	

Program Office	Program	Subprogram	Activity
		Planning, Reporting and Evaluation	
		Technical/Program Management Support	
Office of FreedomCAR & Vehicle Technologies	Vehicle Technologies	Vehicle Systems	Heavy Vehicle Systems R&D <ul style="list-style-type: none"> • Heavy Vehicles/Veh. Systems Optimization. • Heavy Veh./Truck Safety Systems Ancillary Systems <ul style="list-style-type: none"> • Hybrid Sys. - Light Veh. Propulsion (Part) Simulation & Validation <ul style="list-style-type: none"> • Hybrid Sys./Light Veh. Propulsion (Part)
		Innovative Concepts	CARAT-Coop. Auto Rsrch. for Adv. Tech. GATE Stimulate Truck Innovative Concepts & Knowledge
		Hybrid & Electric Propulsion	Energy Storage Advanced Power Electronics Subsystem Integration & Devel. <ul style="list-style-type: none"> • Light Veh. Propulsion (partial — from Hybrid Sys.) • Heavy Veh. Propulsion (from Hybrid Sys.)
		Advanced Combustion Engine R&D	Combustion and Emission Control R&D Light Truck Engine Heavy Truck Engine Waste Heat Recovery (Engine Boosting) Off-Highway Engine R&D Health Impacts

Program Office	Program	Subprogram	Activity
		Materials Technology	Propulsion Materials Technology <ul style="list-style-type: none"> Automotive Propulsion Materials Heavy Vehicle Propulsion Lightweight Materials Technology <ul style="list-style-type: none"> Automotive Lightweight Materials Heavy Veh. High Strength Weight Reduction Materials High Temperature Materials Laboratory (HTML)
		Fuels Technology	Adv. Petroleum-Based Fuels Non-Petroleum Fuels & Lubes <ul style="list-style-type: none"> Auto & Light Truck (from Alt. Fuels) Medium Trucks (from Alt. Fuels) Heavy Trucks (from Alt. Fuels) Fueling Infrastructure (from Alt. Fuels) Environmental Impacts
		Technology Introduction	Legislative & Rulemaking Testing and Evaluation Advanced Vehicle Competitions
		Energy Efficiency Science Initiative	
		Technical/Program Management Supt.	
Office of Geothermal Technologies	Geothermal Technology Development	Geoscience and Supporting Technologies	Core Research Enhanced Geothermal Systems University Research
		Exploration and Drilling Research	Detection and Mapping Innovative Drilling Subsystems Near-Term Technology Development

Program Office	Program	Subprogram	Activity
		Energy Systems Research and Testing	Advanced Heat & Power Systems System Field Verification Industry Support Geopowering the West
Office of Hydrogen, Fuel-Cells and Infrastructure Technologies	Hydrogen Technology	Production & Delivery R&D	
		Storage R&D (Formerly Core R&D – Storage)	
		Safety & Utilization	
		Infrastructure Validation	
	Fuel Cell Technology	Transportation Systems	
		Distributed Energy Systems	
		Fuel Processor R&D	
		Stack Component R&D	
		Technology Validation	
		Technical/Program Management Support	
Office of Industrial Technologies	Industrial Technologies	Industries of the Future (Specific)	Forest and Paper Products Vision <ul style="list-style-type: none"> • Energy Performance (Part) • Environmental Performance • Improved Capital Effectiveness • Recycling • Sensors and Control (Part) • Sustainable Forestry

Program Office	Program	Subprogram	Activity
			<p>Steel Vision</p> <ul style="list-style-type: none"> • Production Efficiency • Recycling R&D • Environmental Engineering • Feasibility Studies on Innovative Steel Product <p>Aluminum Vision</p> <ul style="list-style-type: none"> • Primary Production Technologies • Semi-Fabrication Technologies <p>Metalcasting Vision</p> <ul style="list-style-type: none"> • Manufacturing Technologies • Materials Technologies • Environmental Technologies • New Casting Applications <p>Glass Vision</p> <ul style="list-style-type: none"> • Production Efficiency • Energy Efficiency/Conservation • Environmental and Recycling • Innovative Uses • Deployment Logistics <p>Chemicals Vision</p> <ul style="list-style-type: none"> • New Chemical Sci & Engineering • Manufacturing and Operations • Computational Techniques • Chemical Synthesis Technologies <p>Petroleum Vision</p> <p>Mining Vision</p> <p>Supporting Industries</p>
		Industries of the Future (Crosscutting)	<p>Industrial Materials of the Future</p> <p>Combustion</p> <ul style="list-style-type: none"> • High-Efficiency Combustion Systems <p>Sensors and Control Techniques</p> <p>Industrial Technical Assistance</p> <ul style="list-style-type: none"> • Industrial Assessment Centers • Best Practices Program
		Energy Efficiency Science Initiative	
		Technical/Program Management Support	

Program Office	Program	Subprogram	Activity
Office of Solar Energy Technology	Solar Energy	Concentrating Solar Power	Distributed Power System Development Dispatchable Power Systems Devel. Advanced Component and Systems Research Southwest Resource Opportunity Navajo Electrification Project
		Photovoltaic Energy Systems	Fundamental Research Advanced Materials and Devices Technology Development Southwest Resource Opportunity Navajo Electrification Project
		Solar Building Technology	Solar Water& Space Heating Southwest Resource Opportunity Navajo Electrification Project
Office of Weatherization and Intergovernmental Programs	Intergovernmental Programs	International Renewable Energy Program	
		Tribal Energy Activities	
	Weatherization Assistance Program (Grants)	Weatherization Assistance Training and Technical Assistance	
	State Energy Program (Grants)		

Program Office	Program	Subprogram	Activity
	State Energy Activities	Cooperative Programs with States Planning/Eval. Sup't. for State Programs	
	Gateway Deployment	Rebuild America Building Energy Effic. Information & Outreach Building Codes Training & Assistance Clean Cities Energy Star NICE3 Inventions and Innovation International Market Development Program Technical Program Management Support	Center for Analysis & Dissemination of Demonstrated Technologies Asian Pacific Economic Cooperation (APEC) Greenhouse Gas Technology Info Exchange
Office of Wind & Hydropower Technologies	Wind Energy	Technology Viability	Low Wind Speed Technology WindPACT Distributed Wind Technology (Small Systems)

Program Office	Program	Subprogram	Activity
			Supporting Research and Testing <ul style="list-style-type: none"> • Applied Research/University Research • Applied Research/Core Research • Supporting Research and Testing • National Wind Tech Center Operations (Part) Next Generation Turbine Cold Weather Turbine
		Technology Application	Systems Integration <ul style="list-style-type: none"> • Applied Research/Distributed Wind Applications • Wind Integration – Utility Analysis Technology Acceptance Regional Field Verification Resource Assessment Analysis and Industry Support <ul style="list-style-type: none"> • Industry Support (Part) • National Wind Tech Center Operations (Part) Avian Research Certification
	Hydropower	Technology Viability	Large Turbine Testing Advanced Turbine Pilot-Scale Testing Power Creek Project, Alaska Gustaus (Falls Creek) Project, Alaska
		Technology Application	Low-Head/Low-Power R&D <ul style="list-style-type: none"> • Mini-Hydro Research and Development Biologically-Based Criteria Development

2.4 Roles and Responsibilities of Headquarters and Field Activities

EERE HQ manages the programs, identifies and assigns the work; field elements manage and/or do the work.

The basic division of responsibility and accountability in EERE is that Headquarters elements plan, direct and oversee the programs and Field elements implement them (conduct or assign the actual work). Part of HQ program planning and oversight entails establishing projects (discrete activities with definitive beginnings and endings). EERE Headquarters or Field elements (the Golden Field Office, DOE Operations Offices and Regional Offices [see Chapter 1]) then plan the projects and direct and oversee project implementation and other program operations and activities conducted by Federal laboratories and other Government and non-Government entities, including contractors, grantees, industry partners, interagency partners, and others.



2.5 Program Management Vis-a-vis Project Management Responsibilities

The following table outlines the general responsibilities of EERE Program Management and Project Management. Even though Program Managers and Project Managers have the lead responsibilities listed below, they and their respective teams will frequently consult and coordinate with each other during the year.

The core of the Program Management Team typically includes the program manager, technology manager and/or specialist, OBPFA Planning, Budget and Evaluation/Analysis liaisons, OPES Budget Execution analyst and field Project Manager. Project Management typically includes the Project Manager/Contracting Officer's Representative (COR), Contracting Officer (CO), and Contracting Specialist (COS).

These responsibilities were derived from and are consistent with current DOE directives governing project management. They have been refined and elaborated by the EERE Program Management Focus Group to more accurately associate with EERE's mission and the nature of its programs.

2.5.1 Planning

EERE Program Management:	EERE Project Management
<i>Plans and develops the overall program</i>	<i>Initiates and oversees the project</i>
Provides policy and broad program direction	Provides the Program Manager recommendations on technical performance, cost and schedule requirements for the planned project that contribute to the program's goals and objectives
Aligns programs and projects with Corporate goals and objectives	Defines the project's objectives and how the project will be organized, staffed, and managed
Conducts multi-year program planning and identifies annual performance milestones	Defines the project management approach and optimizes the procurement strategies
Establishes and justifies the need for projects within the program	Develops the project execution plan
Supports EERE strategic and mid-term planning efforts	Understands EERE and Program goals, objectives, and strategies
Provides/drafts Program Strategic Plan	Provides input for the Program Strategic Plan

2.5.2 Budget Formulation

EERE Program Management	EERE Project Management
<i>Prepares, justifies, and defends the program budget</i>	<i>Develops and submits the project budget to the Program Manager</i>
Develops and submits estimates of the funding and FTEs needed to carry out the program's science and technology base and operations and support plans	Prepares the resource requirements of the project
Aggregates and submits the funding and FTE requirements for implementing the program's authorized projects	Estimates and validates contractor and Federal FTE requirements
Provides the rationale for the program's activities, including science and technology base, projects, and operations and support	Identifies and validates necessary facilities and equipment
Optimizes program resource allocations to maximize performance results	Justifies the project's submission to the EERE budget

2.5.3 Program Implementation

EERE Program Management	EERE Project Management
<i>Executes the program budget and implements the program</i>	<i>Implements the project</i>
Authorizes projects and establishes and staffs project management offices	Determines project and contract scope, and recommends new projects, project modifications
Ensures timely funding for projects and other program activities	Executes the project in coordination with the field procurement function
Integrates across all elements of the program (science and technology base, projects, and operations and support)	Selects project performers in coordination with the field procurement function
Monitors program-level milestones and evaluates progress	Evaluates contractor performance and determines acceptability of completed work
Assures proper coordination between multiple Field Elements, other DOE programs, Federal agencies, other program partners.	Monitors project-level milestones and evaluates progress
Advocates the program through liaison with the public and private sectors	Provides technical direction to Field contractors who execute projects
Is accountable for achieving program objectives, e.g., cost, schedule and technical performance	Is accountable for Government project funds and ensures their timely distribution
Maintains power base through networking and partnership development with industry	Assures proper coordination by all appropriate line and staff elements beginning with project inception
	Is accountable for achieving project objectives, e.g., cost, schedule and technical performance

2.5.4 Program Analysis and Evaluation

EERE Program Management	EERE Project Management
<i>Analyzes and evaluates the overall performance of the program</i>	<i>Analyzes and evaluates detailed performance of the project</i>
Evaluates program variances from expected progress and initiates necessary corrective actions	Tracks project execution against cost, schedule and technical performance
Ensures Field performance and status of assigned program tasking, e.g., science and technology base and operations and support	Independently assesses regular project status reports
Reviews project portfolio performance against established baselines	Identifies significant variances in project progress and recommends corrective actions
Supports Corporate and Departmental evaluation efforts	Regularly assesses and reports project status, e.g., cost, schedule, technical performance, to the program manager
Identifies significant variances in program results and recommends corrective actions	
Validates reported results	
Establishes an evaluation plan	
Estimates program benefits to date	
Ensures adequate peer reviews of program progress	

Additional Information

More detailed information on program managers' roles, responsibilities and performance objectives is contained in Appendix F-1 and F-2.

2.6 How to Manage an EERE Program: A General Overview of the Program Management Team's Job and the Program Management Cycle

2.6.1 The Job of EERE Program Management Team

Running a program is a lot like operating a business.

An EERE program is in many ways just like a business. This business contributes to the overall success of the EERE and DOE missions in support of the National Energy Policy. EERE is, therefore, very similar to a division of a large corporation. The business is ongoing; it has no clearly definable point of completion or finish. EERE's activities most likely involve pursuing continuous improvements in one or more specific technology and/or market areas.

Programs have customers and others who have a stake in the outcome.

A business needs to be developed, sustained and run effectively and efficiently. The purpose of any business is to meet stakeholders' needs. In EERE's case, the primary stakeholder is the American public, which needs clean and affordable energy. Other stakeholders include the various legitimate agents for the public, such as Congress, special interest groups, industries that manufacture and use energy-efficient products, environmental groups, and academic and scientific institutions.

EERE program management teams have responsibility for the bottom line.

Your position in EERE may be that of program manager, team leader, member of a program management team or provider of functional support. In any of these roles, you will guide or help guide program strategies and contribute to results.

The program has an ongoing mission, an overriding purpose and perhaps a vision of where it wants to be in the future. Strategies and plans with long-term goals and objectives are needed as well.

Just like any business, it is important to have an explicit mission (a definitive statement of what you are in business for) and a vision (an image of an ideal future state, say ten or more years into the future). To achieve the vision, short- and long-term goals and objectives must be set and pursued. Your goals and objectives need to address satisfying the needs of customers and other stakeholders (the ends) and developing or increasing operational capacity (the means). Resources are also needed to operate the business. This means that products or services need to be offered and sold to obtain the financial wherewithal to acquire the necessary resources.

Programs need to compete for resources and also cooperate.

In EERE's environment, a business division is called a program; it is a discrete element of the EERE mission. Resources are acquired through the budget process, a specialized mechanism for marketing and promoting the program. In the budget process, the program competes with many others for scarce resources, just like companies compete in the marketplace for the consumer's dollar. It is therefore imperative that the program have a viable program strategy with well-defined plans geared toward yielding valuable benefits to the stakeholders. That is, the stakeholders must receive a return for the funds they are investing with the program or spending on its products and services. The program must show results.

Selling the program is essential.

The program management team needs to plan what work needs to be done and how it is to be accomplished.

Obtaining funds is necessary but not sufficient to ensure that a business succeeds. Funding must be allocating across various funding mechanisms, which involves obtaining the most beneficial mix of activities and goods and services. These funding mechanisms include contracts, grants, field work authorizations, financial incentives, and partnerships. In addition, there are a number of high leverage business-like arrangements that should also be considered. Among these are public policies, market interventions, consensus standards, public service promotions and cooperative ventures with business, academia or other Government entities. Partnerships with commercial manufacturers that produce advanced, energy-efficient technologies, and with companies that use the technologies, such as electric power companies, are important for achieving improvements in energy efficiency. The details of these mechanisms will be provided later in this Guide.

The program management team needs to keep the program on track; know the status of the program.

Finally, activities need to be tracked to make sure the plans are being carried out. Periodically, as changes occur, goals and objectives should be reviewed to ensure they are correct and still on course.

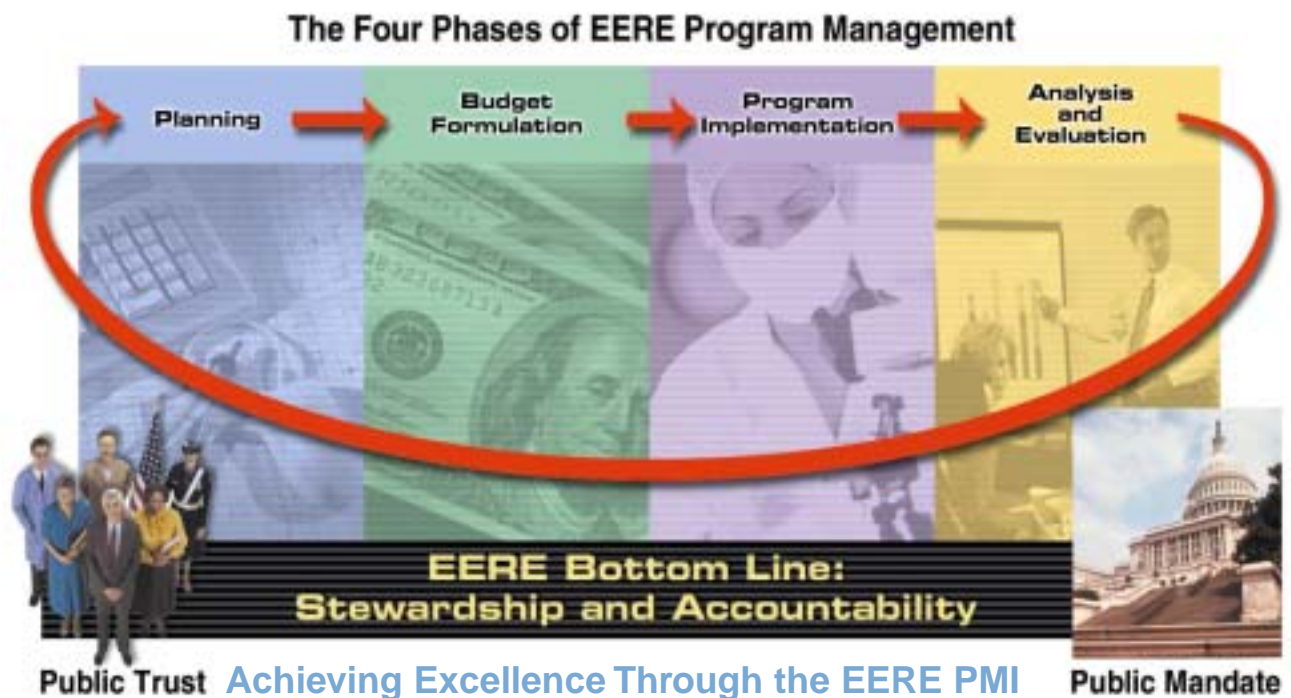
In sum, programs need planning, budget formulation, program implementation, and analysis and evaluation.

Programs also have a lot of business-like functions and activities.

The buck stops with the program manager and his/her team.

We have just described the four phases of program management: Planning, Budget Formulation, Program Implementation, and Analysis and Evaluation. To manage a program successfully, it must be planned, budgeted for the plans, implemented (including timely execution of the budget), and overseen to ensure it stays on track. In doing so, the programmatic functions that plan, conduct and evaluate the actual work must be integrated with business activities that are necessary to get the work assigned, conducted and paid for.

EERE program management teams have been entrusted with a serious responsibility to always act in the best interest of the American public. They are stewards of substantial public funds. In addition to the guidance and instructions contained herein, the bottom line is that they are accountable for the success of the team program in all aspects.



The EERE program management teams are the vital agents who are responsible for transforming strategic objectives into reality through the successful development and execution of programs/projects.

2.6.2 The Program Management Cycle

The successful accomplishment of EERE's mission is dependent upon the ability of program management teams to transform strategic objectives into reality, building the foundation for EERE's success.

While program management uses defined methods to develop and monitor programs, effective program management is best described as an art. Vital elements of program management can be identified and detailed in guides (such as this) and training. However, it is the personal combination of motivation, talent, knowledge, and experience that produces effective program management.

Program management is a complex and multi-dimensional task involving technical competence, communication and negotiation skills, creativity, organization, and especially effective time management. Using these skills, the EERE program management staff must juggle the many different tasks and responsibilities involved in successful:

- Planning,
- Budget formulation,
- Program implementation, and
- Program analysis and evaluation.

EERE Corporate and Program planning is conducted in three broad areas:

- **Strategic**
- **Multi-Year Program**
- **Annual Operations**

2.6.3 Planning

The EERE program management planning cycle involves a progression of activities that are tiered into three broad levels. The program management team contributes at all three levels. Strategic planning at the DOE and EERE levels addresses the broad DOE-wide missions, visions, strategies, and strategic objectives (identified in the current DOE Strategic Plan) and formulates EERE and Program-specific missions, visions, strategies and strategic objectives. Multi-Year Program Planning is performed largely at the program level and translates the strategies and strategic objectives developed at the strategic level into specific technical, funding, and schedule requirements for multi-year program plans. Annual operations planning reduces programs into their constituent projects and details, technical objectives, contracts, grants, Field assignments, budgets, and milestones for each year. See Figure 2.6.1 below for a summary of the program management cycle planning stages.

In addition to these plans, prudent program management would call for development of contingency plans at the program level and more importantly, at the project level to be ready to respond to significant, and unexpected, increases or decreases in budget authority.



Figure 2.6.1

Strategic planning steps:

1. *EERE Strategic Plan is issued.*
2. *Program management team assists in the development of the strategic objectives and issues.*
3. *Program management team helps generate strategies.*
4. *Program management team conducts broad program planning.*

2.6.3.1 Strategic Planning (every 2-3 years)

The strategic planning process is a multi-level process where the overall DOE and EERE mission, vision, and broad strategic goals are successively refined into increasing levels of detail. The process leads to the formulation of EERE strategic goals that provide the focus and justification (including legislative) for EERE programs.

The EERE Strategic Plan is produced at the Assistant Secretary level and is updated approximately every 2-3 years.

Some Programs develop Strategic Plans at the Program Office level and update them periodically as the technology industry and the DOE environment changes, and as the EERE Strategic Plan is updated. The purpose of strategic planning is to assure that the long-term goals and objectives for which the program is striving are the best that can be currently envisioned. The program can then be implemented in concert with the DOE and EERE missions, goals, and objectives.

The key elements developed or reaffirmed through strategic planning are as follows:

- Mission,
- Values,
- Situation analysis,
- Vision, strategic goals and objectives,
- Strategic issues, and
- Strategies.

Additionally, the strategic plan must support the establishment of DOE and EERE performance goals, measures, and expectations as required by the Government Performance and Results Act (GPRA).

The program management team completes the strategic planning process by generating program strategies that target the achievement of the EERE strategic objectives while addressing the realities imposed by the strategic issues (especially legislative mandates and constraints). Broad program planning is conducted by the program management team with input from the Golden Field Office, the Regional Offices, the National Laboratories, industry groups, professional associations, and panels of experts to identify and develop new program areas or to refocus existing programs (if necessary) to achieve strategic objectives.

2.6.3.2 Multi-Year Program Planning (Update annually)

In developing the Multi-Year Program Plan, the program management team begins by identifying key program elements required to achieve the strategic goals and comply with Congressional directives, specifically:

1. ***Program management team identifies key program elements.***
 2. ***Program management team develops the Multi-Year Program Plan (MYPP).***
 3. ***Program management team identifies projects, levels and content of lab support and procurement and financial assistance.***
- Technical and/or marketing requirements, risks, and potential barriers,
 - Legislative requirements and limitations,
 - Program structure,
 - Identification of technical and contract management,
 - Identification of desired support providers,
 - If a team of support providers is desired, identifying the structure and roles of this team,
 - Funding requirements, and
 - Milestones/scheduling requirements.

Program milestones must be identified at junctures along the critical path to the program goals and objectives. They should represent key decision points for determining as early as practicable if the program is on track toward achieving objectives and facilitating timely adjustments to the program's strategies.

The MYPP integrates these key program elements and becomes the *basis for budget requests and justifications*, as well as the baseline document that provides the framework for periodically evaluating and reporting program progress. The MYPP is also considered a "living document" and is updated on an annual "rolling" basis. An MYPP is developed for each program and contains the following:

- Introduction
- Goals and Objectives
- Technical and/or Marketing Plan
- Implementation Strategy
- Management Plan

The program management team updates the MYPP with input and assistance from many sources, including laboratories and support contractors. See Appendix A-2 for more information on the MYPP template.

2.6.3.3 Annual Operations Plan (Each fiscal year)

AOP starts with ensuing fiscal year of MYPP.

Program management team reviews goal, objectives and milestones.

AOP defines means of achieving upcoming FY milestones.

AOP identifies all work for year by all performers.

AOP includes Spend plan.

AOP drives acquisition plan.

After the MYPP is updated, the program management team begins the annual operations planning process by using the ensuing fiscal year (slice) of the MYPP as the foundation on which to develop the Annual Operating Plan (AOP). The program management team reviews the program's goals and objectives. They then review the near-term milestones and determines the activities required in the upcoming execution year to achieve them. Some of the milestones will be achieved by ongoing project activities from prior fiscal years. Others will require the initiation of new projects. All will require the identification of the applicable funding requirements and the timing of the funding obligations. In each case, the work performer and/or procurement and/or financial assistance vehicles will be identified and the cost, schedule and technical requirements specified.

Where it is anticipated that the laboratories will be assigned the work, the program may direct them to generate and submit a field Work Proposal (FWP). In many cases the FWP will be submitted as part of the laboratory's Annual Operating Plan. In reviewing the FWP, the program may discuss and negotiate its provisions with the lab before deciding upon the level of tasking and funding necessary.

Where the performer is other than a lab, the program management team needs to determine the appropriate procurement or financial assistance instrument and estimate the funding required.

To complete the AOP, the program management team develops a Spend Plan, which identifies all of the funding required and when it will be needed during the year. The completed AOP is then used to develop an Acquisition Plan (see Appendix A-3), which provides the planning details including the lead times for preparing procurement and financial assistance documents. The AOP is also the source of information for generating Work Authorizations and Program Guidance Letters to the field.

2.6.4 Budget Formulation

After the program has been fully defined, the program secures funding through the budget development process.

The DOE budget process begins each spring with the preparation of DOE internal budget called the Corporate Review Budget (CRB). This budget is for the fiscal year that is two years away, e.g., the budget process beginning in the spring of 2002 is for FY 2004.

- *The program management team refers to internal planning.*
- *The program gathers input from Labs and Field offices.*

Prior to developing the first draft of the budget, the program gathers input from appropriate personnel at DOE headquarters, the labs and field offices as well as internal planning, primarily for the multi-year program plan. The program should already have much of this information from the multi-year program planning process, which occurs prior to the Budget Formulation Process.

The Budget Process begins when the DOE controller issues the call for development of the CRB and guidance for its preparation.

- *DOE Controller issues call for development of the Corporate Review Budget (CRB).*

2.6.4.1. Development of DOE Corporate Review Budget

The program management team reviews its program and prepares the program budget including the key activity summaries, based on what the program needs to accomplish to achieve its goals and contribute to higher level (EERE, DOE National) goals. Useful information for budgeting purposes can come from the DOE Spend plan history, the existing budget, and the multi-year program plan. These budgets are then reviewed by the program and the offices of Planning, Budget Formulation and Analysis.

- *Program Office prepares CRB.*
- *Program and OPBFA review CRB.*
- *Deputy Assistant Secretaries and the Assistant Secretary review the CRB.*

The program budget is then reviewed by the Deputy Assistant Secretaries who may accept the budget, or recommended changes or cuts. Discussions between the Deputy Assistant Secretaries and the Assistant Secretary determine initial funding levels at which the budget will be developed. Based on the budget agreed upon by the Assistant Secretary and the Deputy Assistant Secretary, the program is usually requested to update the Key Activity Summaries.

- *The program management team prepares the Key Activity Summary based on the CRB.*

2.6.4.2. The Key Activity Summary

The Key Activity Summary is a major part of the overall budget document that is the basis of the budget request. The Key Activity Summary includes program descriptions/explanations, overall objectives and long-term strategic goals, and lists all projects conducted under each program. The program management team develops the upcoming budget year's key activities using the CRB for guidance, or any draft key activities developed for the CRB, the previous fiscal year's Key Activity Summary, and planning documents. With each review of the budget, the Key Activity Summary should be updated to reflect any changes in the budget.

Appendix B-2, "The Corporate Review Budget Document," explains the development of the Key Activity Summary, and the Budget Analysis Review and Reporting System (BARRS) used to coordinate its development.

2.6.5 Program Implementation

Since executing the budget and procurement activities are vital to maintaining program progress, and many procurements and interagency agreements can have significant lead times, program support funding documents (e.g., procurement requests, work authorizations) should be submitted at the earliest possible time. To accomplish the timely submittal of the program support funding documents, the program management team should implement the acquisition plan and initiate the generation of these documents early, especially documents for interagency agreements, sole source justifications, and statements of work.

After fiscal year funding levels (from Congress) have been established, the program management team updates the MYPP, AOP (projects, milestones, spend plan), and acquisition plan to reflect funding realities.

The program execution phase is initiated with the finalization and submittal of the program support funding documents to the Office of Program Execution Support (OPES) to begin the authorization, obligation, and procurement process. As funds are authorized, OPES updates the Spend Plan accordingly, and the program management team tracks the obligation of funds and updates the Spend Plan as funds become obligated. The current Spend Plan is reflected in the Spend Plan spreadsheet in the EERE Data Center.

- *Program management team initiates the development of required program support funding documents.*
- *Program management team updates the Multi-Year Program Plan, Spend Plan, and the Annual Operating Plan.*
- *Program management team finalizes and submits program support funding documents.*
- *Program management team tracks the obligation of funds and OPES updates the Spend Plan accordingly.*

To avoid interruptions, another major program management team responsibility is to ensure that funding is provided to the program supporters (labs, contractors) in a timely fashion according to the Spend Plan. This is accomplished through the submission of the appropriate program support funding documents to the Program Execution Specialist as part of the monthly Approved Funding Program (AFP) process.

2.6.6 Program Analysis and Evaluation

As the program and individual projects progress, the program management team is responsible for oversight and tracking of the program's technical, schedule, and fiscal progress. They continually evaluate progress through discussions and reviews with project managers, and when required, initiate corrective action to keep programs on target toward achieving the desired strategic goals.

Program progress will be reported to management through monthly EERE Program Progress Reviews. These reviews provide the forum for the dissemination of program progress to EERE management along with required status reports from the field.

One thing the program management team can always count on is that unforeseen events will occur that significantly alter the dynamics of the program. The skillful program management team will identify the disruption early and develop (often with consultation with peers) a plan to redirect the program. These events/disruptions may be small enough to require only minimal restructuring of a project milestone or may be large enough to require re-examination of the attainability of the strategic goal itself.

The key to maintaining the program on a steady course in turbulent conditions is to continuously evaluate progress and feed this information back into the strategic and operational planning processes to realign the program course accordingly.

The very nature of the strategic planning process ensures that EERE programs are not conducted in a vacuum and are coordinated to achieve strategic objectives. Therefore, the progress (or lack of progress) in a program will impact other programs. For this reason, feedback from programs to the strategic planning process is vital to maintain the coordination and focus of efforts.

- *Program management team oversees and tracks program performance.*
- *Program management team presents program progress at Program Progress Reviews.*
- *Program management team must allow for unforeseen events.*

The program feeds program progress back to strategic planning participants to update strategic objectives and refocus program if necessary.

At key intervals the program should undergo comprehensive reviews supported by analysis and objective review and recommendations by panels of experts (merit review/peer review). The frequency, regularity, depth and degree of independence of these reviews depends on the nature of the program, degree of technology change or evolution, the program's performance and results and interest among the stakeholders. The results of these reviews help complete the program management cycle by feeding forward into the next planning stage.

2.7 EERE Strategic Management System (SMS)

2.7.1 The Strategic Management System

The SMS is EERE's executive and program management operating system. It defines each of the four program management phases in terms of a scheduled series of products and their linkage to other products and phases (*i.e.*, their interdependencies). This helps to properly align the program and business management activities and provides critical information at the right time for key decision-making. By adopting a clearly defined, integrated, and systematic approach for its management activities, EERE will be able to improve the effectiveness, efficiency, and quality of its programs.

SMS is a tool for the programs and the organization.

Figure 2.7.1 below shows the four phases and the general closed-loop flow for one EERE program cycle.

As repeated throughout this guide, the program management team needs to plan, budget, execute, and evaluate to be successful. It is also necessary that these activities are linked into a cohesive and coherent whole. That is the purpose of the SMS. All of the SMS procedures, processes and tools have been designed to address the interdependence of the parts as well as the parts themselves. If SMS is properly used, each of EERE's goals and objectives and each EERE program's multi-year program plans and annual operating plans will feed into the budget. The plans and budgets will then direct the implementing activities. The

SMS integrates the Program Management Elements:

- **Planning**
- **Budget Formulation**
- **Program Implementation**
- **Analysis and Evaluation**

across all programs and organizational units.

Information on Program Planning, Budget Formulation, Program Implementation and Program Analysis and Evaluation are linked through SMS.

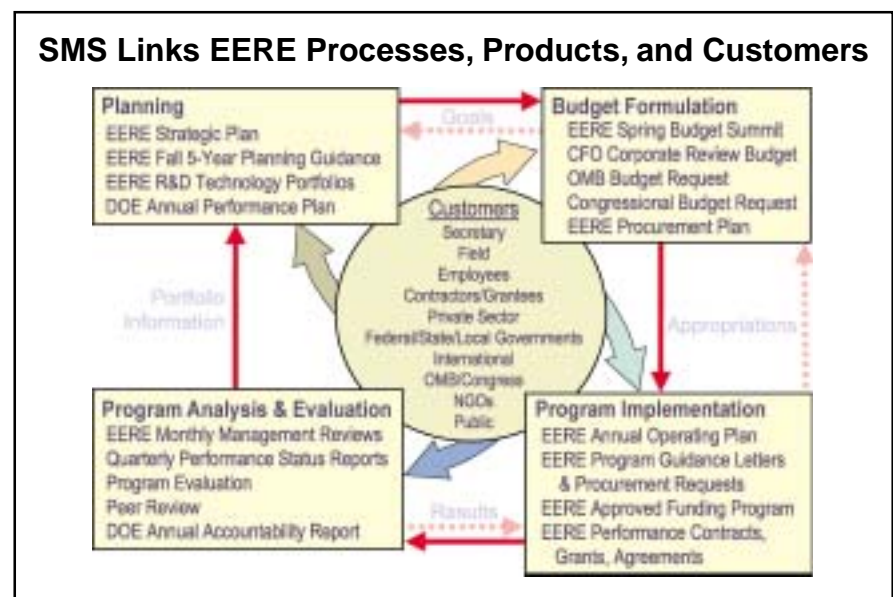


Figure 2.7.1 : EERE Strategic Management System

analysis and evaluation will focus on the desired outcomes as well as feed into the next planning cycle.

The SMS is part of the program management basic tool kit--the roadmap and calendar for planning and implementing the program.

2.7.2 Using the EERE SMS to Manage the Program

Figures 2.7.2 through 2.7.5 on the succeeding pages represent the current Fiscal Year SMS calendar for each of the four phases of SMS activity. The remainder of this guide will describe the discrete SMS steps depicted on these charts and prescribe the related program-level roles, responsibilities and detailed processes and tools for each.

The EERE SMS framework can be used to identify what to do and when.

As a general rule, program management and business management activities should be planned around the SMS calendar. The current SMS activities and events are depicted in the diagrams and described in the associated EERE SMS Information and Instruction Sheets in Chapter 4 (*SMS Planning Stages*), Chapter 5 (*SMS Budget Formulation Stages*), Chapter 6 (*SMS Program Implementation Stages*), and Chapter 7 (*SMS Analysis and Evaluation Stages*).

Additionally, in October of each year, EERE will distribute a memorandum updating the SMS calendar for the next 13 months. Details of the current memorandum comprise the content of the Information and Instruction Sheets in Chapters 4 through 7.

At any point in time, programs will be engaged in different phases of at least four consecutive fiscal years. Without a roadmap, that situation would be overwhelming. Figure 2.7.6 shows a complete SMS cycle. Figure 2.7.7 presents a one-year calendar, which shows the SMS and related program-level activities and events that occur each month and the execution year cycle they are addressing. Following Figure 2.7.7, you will find generic monthly program-level activities.

Periodically, the program management team should plan its calendar by setting aside blocks of time to conduct planning and program reviews to ensure they are conducted deliberately and in a timely manner. This will make everyone's life much easier and the program more effective.

Figure 2.7.2 SMS Planning Stages

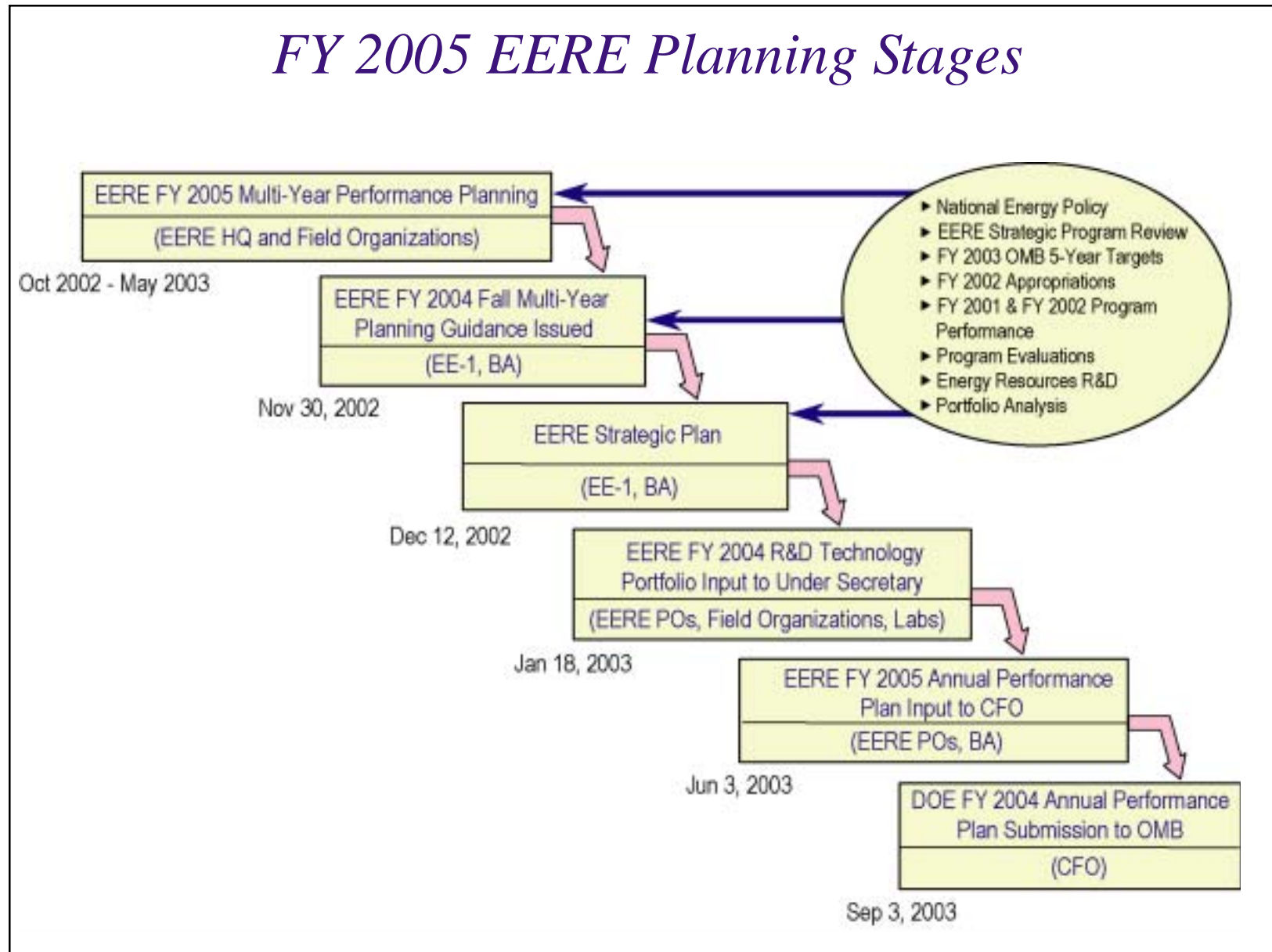


Figure 2.7.3 SMS Budget Formulation Stages

FY 2005 EERE Budget Formulation Stages

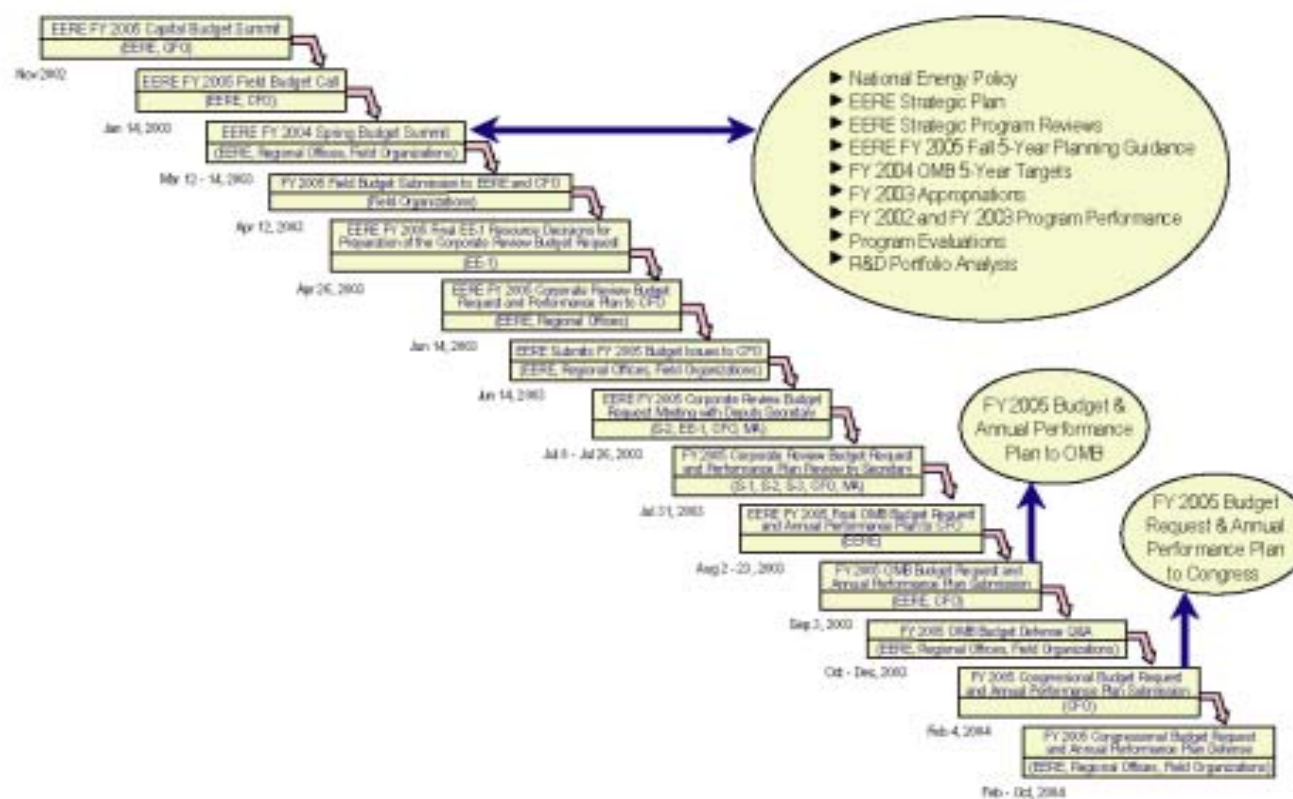


Figure 2.7.4 SMS Program Implementation Stages

FY 2004 EERE Program Implementation Stages

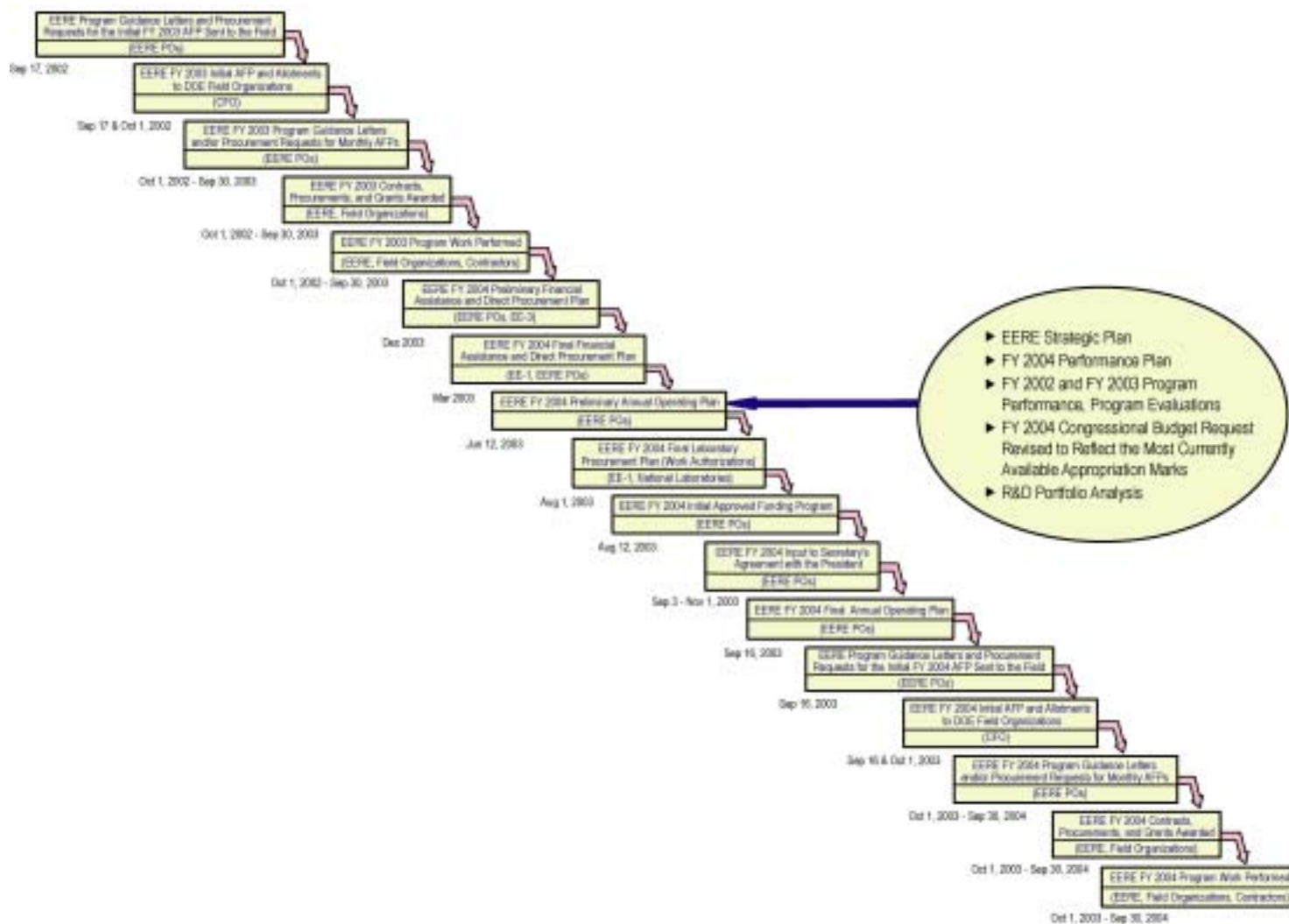


Figure 2.7.5 SMS Analysis and Evaluation Stages

FY 2003 EERE Program Analysis & Evaluation Stages

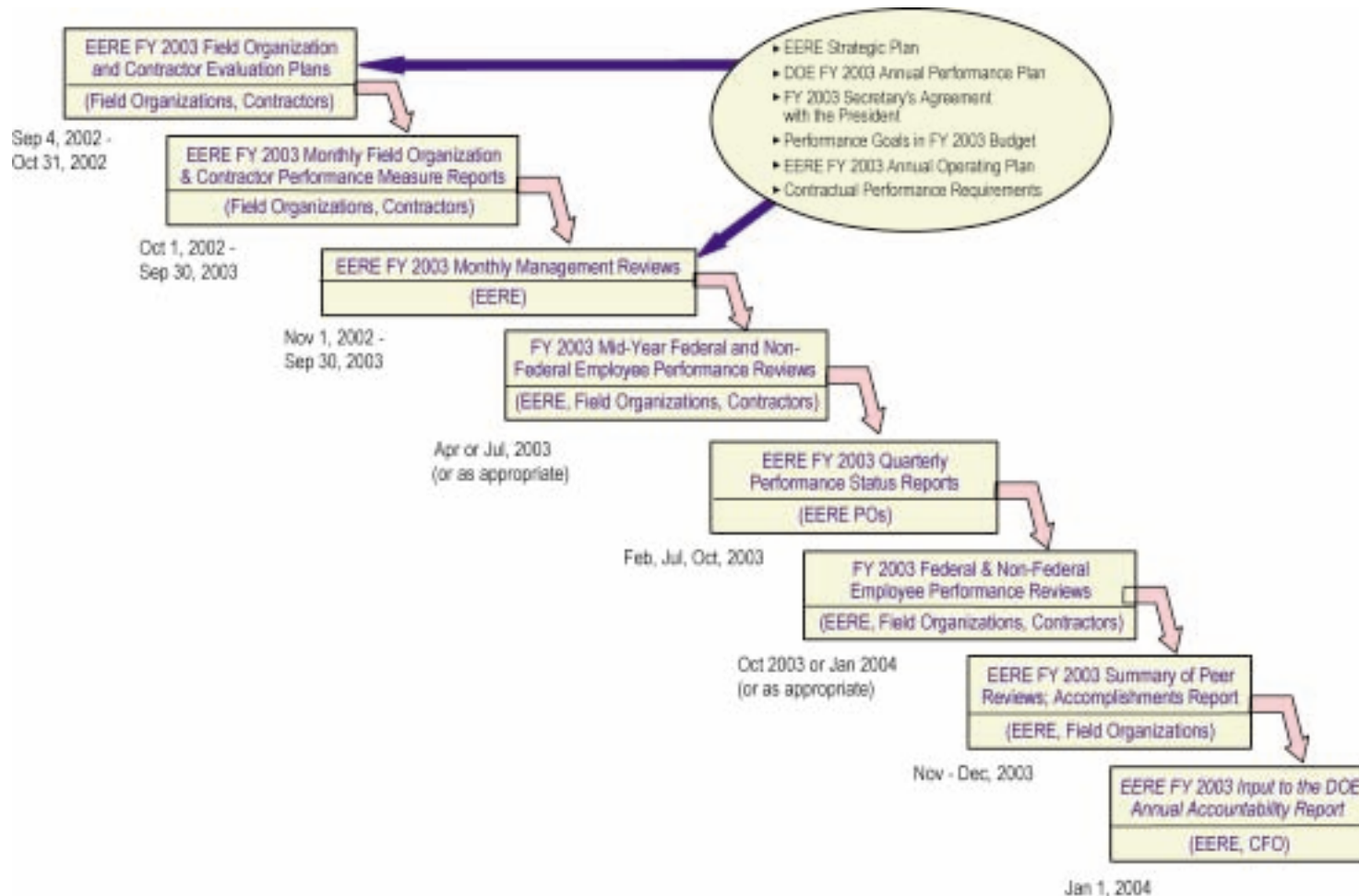
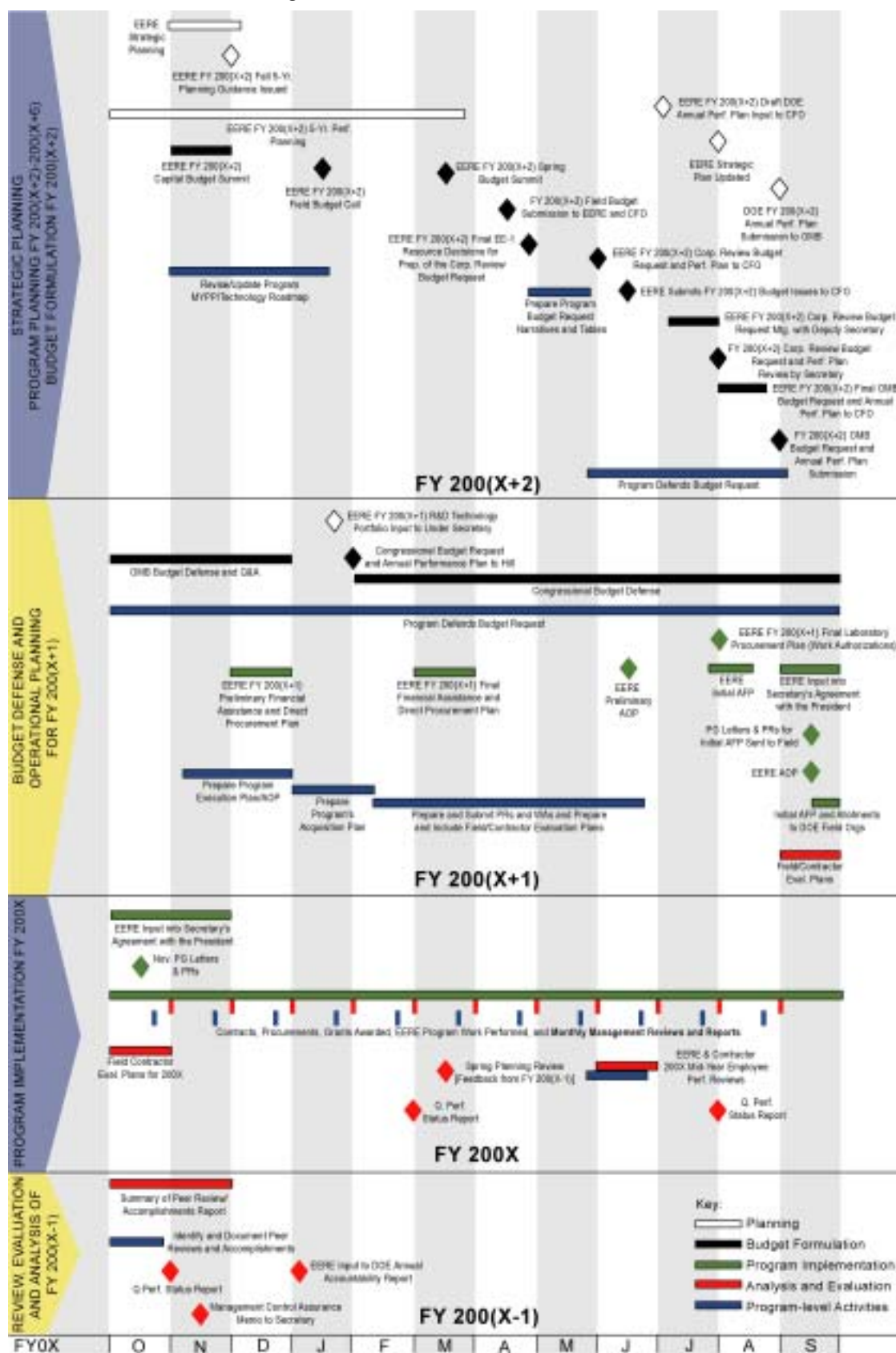


Figure 2.7.7 Annual SMS Calendar



SMS CORE ACTIVITIES, SCHEDULE, AND LEAD ROLES THROUGH OCT 2004

Core Activities and Products	Approx. Target Date	Lead Role*	Support
EERE FY 200X Field Organization and Contractor Evaluation Plan	Sep-Oct (X-1)	EERE, FO	
EERE Program Guidance Letters and Procurement Requests for the Initial FY 200X AFP	Sent to the Field	Sep 7, (X-1)	OPES
EERE FY 200X Initial AFP and Allotments to DOE Field Organizations	Sep & Oct 1, (X-1)	CFO	OPES
EERE FY 200X Program Guidance Letters and/or Procurement Requests for Monthly AFPs	Oct 1, (X-1)-Sep 30, X	POs	OPES
EERE FY 200X Contracts, Procurements, and Grants Awarded	Oct 1, (X-1)-Sep 30, X	EERE, FO	
EERE FY 200X Program Work Performed	Oct 1, (X-1)-Sep 30, X	EERE, FO, Contractors	
EERE FY 200X Monthly Field Organization and Contractor Performance Measure Reporting	Oct 1, (X-1)-Sep 30, X	FO, Contractors	
EERE FY 200(X+2) Multi-Year Performance Planning	Oct (X-1)-May X	POs, FO	
EERE FY 200X Monthly Management Reviews	Nov 1, (X-1)-Sep 30, X	EERE	
EERE FY 200(X+2) Capital Budget Summit	Nov (X-1)	BA, POs, GFO	
EERE Strategic Plan	Nov Every 3rd year	EE-1, BA	POs, BD
EERE FY 200(X+2) Fall Multi-year Planning Guidance Issued	Nov 30, (X-1)	EE-1, BA	
EERE FY 200(X+1) Preliminary Financial Assistance and Direct Procurement Plan	Dec (X-1)	POs, BA	
EERE FY 200(X+2) Field Budget call	Jan 14, X	EERE, CFO	
EERE FY 200(X+1) R&D Technology Portfolio Input to the Under Secretary	Jan 18, X	POs, FO	
EERE FY 200X Quarterly Performance Status Reports.	Feb, Jul, Oct X	POs, BA	
EERE FY 200(X+1) Final Financial Assistance and Direct Procurement Plan	Mar X	EE-1, POs	
EERE FY 200(X+2) Spring Budget Summit	Mar X	EERE, FO	
FY 200X Mid-Year Federal and Non-Federal Employee Performance Reviews	Apr or Jul X	EERE, FO, Contractors	
EERE FY 200(X+2) Field Budget Submission to EERE and the CFO	Apr 12, X	FO	
EERE FY 200(X+2) Final EE-1 Resource Decisions for Preparation of the Corporate Review Budget Request	Apr 26, X	EE-1	
EERE FY 200(X+2) Annual performance plan Input to CFO	Jun 3, X	POs, BA	
EERE FY 200(X+2) Corporate Review Budget Request and Performance Plan to CFO	Jun 3, X	EERE	
EERE FY 200(X+1) Preliminary Annual Operating Plan	Jun 12, X	POs	OPES
EERE Submits FY 200X Budget Issues to the CFO	Jun 14, X	EERE, FO	
EERE FY 200(X+2) Corporate Review Budget Request Meeting with the Deputy Secretary	Jul 8-26, X	S-2, EE-1, CFO, ME	
FY 200(X+2) Corporate Review Budget Request and Performance Plan Review by Secretary	Jul 31, X	S-1, S-2, S-3, CFO, ME	
EERE FY 200(X+1) Final Laboratory Procurement Plan (Work Authorizations)	Aug 1, X	EE-1, National Labs	
EERE FY 200(X+2) Final OMB Budget Request and Annual performance plan to CFO	Aug 2-23, X	BA	POs
EERE FY 200(X+1) Initial Approved Funding Program	Aug 12, X	POs	OPES
FY 200(X+2) OMB Budget Request and Annual performance plan Submission	Sep 3, X	BA, CFO	POs
EERE FY 200(X+1) Input to the Secretary's Agreement with the President	Sep 3-Nov 1, X	POs	OPES
EERE FY 200(X+1) Final Annual Operating Plan	Sep 16, X	POs	OPES
EERE Program Guidance Letters and Procurement Requests for the Initial FY 200(X+1) AFP	Sep 16, X	POs	OPES Sent to the Field
EERE FY 200(X+1) Initial AFP and Allotments to DOE Field Organizations	Sep 16 & Oct 1, X	CFO	
FY 200X Federal and Non-Federal Employee Performance Reviews	Oct X or Jan (X+1)	EERE, FO, Contractors	
FY 200(X+2) OMB Budget Defense Q&A	Oct-Dec X	BA, FO	
EERE FY 200(X+1) Contracts, Procurements, and Grants Awarded	Oct 1, X-Sep 30, (X+1)	EERE, FO	
EERE FY 200(X+1) Program Work Performed	Oct 1, X-Sep 30, (X+1)	EERE, FO, Contractors	
EERE FY 200(X+1) Program Guidance Letters and/or Procurement Requests for Monthly AFPs	Oct 1, X-Sep 30, (X+1)	POs	OPES
EERE FY 200X Summary of Peer Reviews; Accomplishments Report	Nov-Dec X	EERE, FO	
EERE FY 200(X-1) Management Control Assurance Memo to the Secretary	Nov 15, (X-1)	EE-1, BA	
EERE FY 200(X-1) Input to the DOE Annual Accountability Report	Jan 1, (X+1)	EE-1, BA, CFO	
FY 200(X+2) Congressional Budget Request and Annual performance plan Submission	Feb 4, (X+1)	CFO	
FY 200(X+2) Congressional Budget Request and Annual performance plan Defense	Feb-Oct, (X+1)	EE-1, BA, FO	

* EERE = Office of Energy Efficiency and Renewable Energy
 EE-1 = Assistant Secretary for EERE
 DAS-TD = EERE Deputy Assistant Secretary for TD
 DAS-BA = EERE Deputy Assistant Secretary for BA
 BA = EERE Office of Business Administration
 CFO = DOE Office of the Chief Financial Officer
 PO = EERE Program Office

S-1 = DOE Secretary
 S-2 = DOE Deputy Secretary
 S-3 = DOE Under Secretary
 FO = EERE Field organizations
 ME = DOE Office of Management Budget and Evaluation
 BD = EERE Board of Directors

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

OCTOBER CY 200(X-1)

- Support defense of OMB Passback and Appeal for FY 200(X+1) budget. See applicable Budget Formulation Information and Instruction Sheet in Chapter 5.2 and Appendix B-3.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Chapter 7.2 and Appendix D-1.
- Identify and document Peer Reviews and program accomplishments for input into the EERE and DOE FY 200(X-1) Summary of Peer Reviews/ Accomplishments Report. See applicable Analysis and Evaluation Information and Instruction Sheet in Chapter 7.2 and Appendices D-2 and D-3.
- Conduct DOE employee performance appraisals for FY 200(X-1).
- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)****NOVEMBER CY 200(X-1)**

- Support defense of OMB Passback and Appeal for FY 200(X+1) budget. See applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-3.
- Begin preparing the program's FY 200(X+1) execution plan, which includes, as a minimum, the elements of the Annual Operating Plan, i.e., planned projects, measures and spending for FY 200(X+1). See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendix A-3.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

DECEMBER CY 200(X-1)

- Upon receipt of EERE 5-year Planning Guidance, about the 20th of the month, revise/update the program's Technology Roadmap and Multi-year program plan, which will be included in the EERE 5-year performance planning for FY 200(X+2). See the applicable Planning Information and Instruction in Section 4.2 and Appendix A-2.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Complete the program's FY 200(X+1) execution plan, including, as a minimum, the elements of the Annual Operating Plan, i.e., planned projects, milestones and spending for FY 2006. See the applicable Planning Information and Instruction Sheet in Section 4.2 and Appendix A-3.
- Support defense of OMB Passback and Appeal for the FY 200(X+1) budget. See applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B3.
- Prepare for non-DOE employee performance reviews for CY 200(X-1). See the applicable Analysis and Evaluation Information and Instruction sheet in Section 7.2.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

JANUARY CY 200X

- Complete the revision/update of the Program's Technology Roadmap and Multi-year Plan to support FY 200(X+2) planning and budgeting. See the applicable Planning Information and Instruction Sheet in Section 4.2 and Appendix B-2.
- Begin preparation of the program's Acquisition Plan for FY 200(X+1). See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendix C-2.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Conduct non-DOE employee performance reviews for CY 200(X-1). See the applicable Analysis and Evaluation Information and Instruction sheet in Section 7.2.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

FEBRUARY CY 200X

- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4 .
- Complete the program's Acquisition Plan for FY 200(X+1). See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendix C-2.
- Begin preparing and submitting FY 200(X+1) PRs and WAs including Field/Contractor Evaluation Plans according to the lead times indicated in the Acquisition Plan. See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and appendices C-1 and C-3.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

MARCH CY 200X

- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.
- Continue preparing and submitting FY 200(X+1) PR's and WA's including Field/Contractor Evaluation Plans according to the lead times indicated in the Acquisition Plan. See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and appendices C-1 and C-3.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Support Spring Budget Summit for FY 200(X+2). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

APRIL CY 200X

- Upon receipt of EE-1 resource decisions for preparation of the Corporate Review Budget, begin preparing the program's budget request and narratives and tables for FY 200(X+2) and defend the budget request at the EERE level. See the applicable Budget Formulation Information and Instruction Sheets in Section 5.2 and Appendices B-1 and B-2.
- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Conduct DOE employee FY 200X mid-year performance reviews. See the applicable Analysis and Evaluation Information and Instruction sheet in Section 7.2.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

MAY CY 200X

- Complete preparation of the program's budget request and narratives and tables for FY 200(X+2) and defend the budget request at EERE level. See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendices C-1 and C-3.
- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

JUNE CY 200X

- Defend program's FY 200(X+2) Corporate Review budget submission at DOE level. See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendices C-1 and C-3.
- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.
- Complete preparation and submission of all FY 200(X+1) PRs and WAs including Field/ Contractor Evaluation Plans according to the lead times indicated in the Acquisition Plan. See the applicable Program Implementation Information and Instruction Sheet in Section 6.2 and Appendices C-1 and C-3.
- Conduct non-DOE employee FY 200X mid-year performance reviews. See the applicable Analysis and Evaluation Information and Instruction sheet in Section 7.2.
- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

JULY CY 200X

- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Defend program's FY 200(X+2) Corporate Review budget submission at DOE level. See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendices B-1 and B-2.
- Support Congressional budget defense and Q & A's for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

AUGUST CY 200X

- Prepare for the Monthly Management Review. See the applicable Analysis and Evaluation Information and Instruction Sheet in Section 7.2 and Appendix D-1.
- Defend program's FY 200(X+2) Corporate Review budget submission at DOE level. See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendices B-1 and B-2.
- Ensure that all planned procurement and financial assistance actions are on track for timely award and that the Approved Funding Program includes the applicable allotments and program guidance letters for Work Authorizations. See the applicable Program Implementation Information and Instruction Sheets in Section 6.2.
- Support Congressional budget defense and Q & As for FY 200(X+1). See the applicable Budget Formulation Information and Instruction Sheet in Section 5.2 and Appendix B-4.

- Other activities:

**PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(CY OCT 200(X-1) THROUGH SEPT 200X)**

SEPTEMBER CY 200X

- Ensure that all planned procurement and financial assistance actions are on track for timely award and that the Approved Funding Program includes the applicable funding and program guidance letters for Work Authorizations. See the applicable Program Implementation Information and Instruction Sheets in Section 6.2.

- Prepare for DOE Employee Performance Appraisals for FY 200X.

- Other activities:
